

June 30, 1999

ACOS FOR RESEARCH AND DEVELOPMENT PERFORMANCE

1. PURPOSE: This Veterans Health Administration (VHA) Directive details the mandatory performance elements of the annual performance plan for all Associate Chiefs of Staff for Research and Development (ACOS for R&D) or those who function as ACOS for R&D. Included with the ACOS for R&D are Research Coordinators, Directors of Research and those with other titles indicating administrative responsibility for management of a local, field-based research program. This Directive gives the Chief Research and Development Officer (CRADO) concurrence authority for the appointment of ACOSs for R&D and their annual evaluation.

2. BACKGROUND

a. The ACOS for R&D is the administrative head of the Research and Development (R&D) program at the VHA facility level and is responsible to the facility's Chief of Staff and Director for the proper operation of the R&D program.

b. There are many elements to administering a successful R&D program within the Department of Veterans Affairs (VA), including compliance with VA and other Federal regulations for human research, animal research, laboratory safety, scientific misconduct and fiscal accountability. The mandatory elements in the ACOS for R&D's annual performance plan are a prudent management step to help assure the proper field implementation of the VA's R&D program. Since the CRADO is responsible for the VA's R&D Program and the ACOS for R&D is responsible for the R&D Program in the field, the concurrence of the Chief Research and Development Officer in the appointment of the ACOS for R&D is in order.

3. POLICY

a. The CRADO is to concur in the appointment of each ACOS for R&D.

b. The annual performance plan for the ACOS for R&D shall contain, at a minimum, the elements stated in Attachment A of this Directive.

4. ACTION

a. The appointment of ACOS for R&D will be contingent upon concurrence by the Chief Research and Development Officer.

b. The elements of the ACOS for R&D performance plan in Attachment A will be incorporated into the annual performance plans of all ACOS for R&D. Performance ratings of ACOS for R&D will be forwarded to the CRADO for review and comment. **NOTE:** *Comment shall be provided within 2 weeks.*

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c. Disagreements between the CRADO and the appointing authority that cannot be resolved between them shall be forwarded to the Under Secretary for Health for resolution.

5. REFERENCES

a. M-3, Part I, Chapter 2, paragraph 2.01 and Chapter 3, paragraph 3.02.

b. VHA Directive 10-95-032.

6. FOLLOW-UP RESPONSIBILITY: The Office of the CRADO (12) is responsible for the contents of this directive.

7. RESCISSIONS: This VHA Directive expires June 30, 2004.

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Under Secretary for Health

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ATTACHMENT A

**ASSOCIATE CHIEF OF STAFF (ACOS) FOR
RESEARCH AND DEVELOPMENT (R&D) PERFORMANCE PLAN**

The ACOS for Research and Development (R&D) is responsible for the support and administration of the research program at the facility level and for the supervision and performance of the staff of the facility research office. Ideally, the ACOS for R&D will lead the research program by example as a successful investigator, but it is as an administrator and mentor that the performance as ACOS will be measured. The ACOS for R&D should provide service to all investigators and assure compliance of the research program with the policies and procedures of the facility, the Network, and the National Research and Development program.

**MEASURE 1: Ensure That the Department of Veterans Affairs (VA) Research
Program is Administered Efficiently and in Compliance with R&D
Policy****GOALS**

1. Exceed: Attendance of at least 75 percent of Committee members at all R&D Committee and subcommittee meetings.

 Met: Attendance of a quorum of Committee members at all Committee meetings.

 Unmet: Cancellation of more than two meetings of any single committee or subcommittee meetings in the fiscal year due to lack of a quorum. Actions taken at any meetings where there is less than a quorum.
2. Exceed: Research projects conducted in at least three of the four areas of research, i.e., Medical Research, Health Services R&D, Rehabilitation R&D, or Cooperative Studies, with an increased participation in at least two.

 Met: Increase participation in one of the areas of research, as indicated by an increase in approval of VA funded proposals.

 Unmet: No change in participation in any research area.
3. Exceed: Ninety percent of the allocated funds obligated as designated in the award for VA funded projects.

 Met: Eighty-five percent of the allocated funds obligated as designated in the award for VA funded projects.

 Unmet: Less than 85 percent of the allocated funds obligated as designated in the award for VA funded projects.

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4. Exceed: No more than 2 percent budget carryover at end of fiscal year.

Met: No more than 5 percent budget carryover at end of fiscal year.

Unmet: Greater than 5 percent budget carryover at end of fiscal year.

MEASURE 2: Assist Local Investigators and Prospective Investigators in Their Effort to Carry Out VA's Research Mission.

GOALS:

5. Exceed: One hundred percent of research proposals are appropriately reviewed at the facility for animal, biological, and human research issues; 100 percent of proposals sent for merit review are approved with respect to these issues at the national level.

Met: One hundred percent of research proposals are appropriately reviewed at the facility for animal, biological and human research issues; 95 percent of proposals sent for merit review receive final approval with respect to these issues at the national level.

Unmet: 100 percent of research proposals are appropriately reviewed at the facility for animal, biological, and human research issues; more than 5 percent of proposals sent for merit review are not approved with respect to these issues at the national level.

6. Exceed: Career Development awards active in more than one research area or a new Career Development application submitted in a research area previously not represented at the medical center.

Met: At least one Career Development award active at the facility or a new Career Development application submitted.

Unmet: New Career Development Award not submitted past fiscal year.

7. Exceed: Increase annual reported total intramural and extramural research budget by 10 percent.

Met: Increase annual reported total intramural and extramural research budget by 5 percent.

Unmet: Maintain status quo or budget decreases.

MEASURE 3. Provide the Best Possible Facilities and Equipment for the Conduct of Research.

GOALS:

8. Exceed: Plan to bring all VA funded investigators into space owned or leased by VA within 1 year.
- Met: Plan to bring all VA funded investigators into space owned or leased by VA within 3 years.
- Unmet: Failure to bring all VA funded investigators into space owned or leased by VA after 3 years.

MEASURE 4: Improve Communication with Network Office And Offices of R&D

GOALS:

9. Exceed: One hundred percent of the reports are accurate and submitted on time.
- Met: Ninety-five percent of the reports are accurate and submitted on time.
- Unmet: More than 5 percent of the reports contain errors or are not submitted on time.
10. Exceed: One hundred percent of the information entered into the Research data base (RDIS) is accurate and submitted on time.
- Met: Ninety percent of the information entered into the Research Data Base (RDIS) is accurate and submitted on time.
- Unmet: More than 10 percent of the information entered into the RDIS contains errors or is not submitted on time.

MEASURE 5: Effectively Manage Risk in the Research Program

GOALS:

11. Exceed: A safe working environment currently is provided.
- Met: A safe working environment will be achieved in 3 months.
- Unmet: Safety violations are identified and an action plan has not been developed.

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12. Exceed: All research safety issues have been reviewed and are currently correct.
- Met: All research safety issues have been reviewed and plans developed to ensure that any deficiencies will be corrected in 3months.
- Unmet: Research safety issues either have not been reviewed within the past fiscal year, or they have been reviewed but and an action plan has not been developed.
13. Exceed: Every new employee receives orientation within 6 weeks.
- Met: Every new employee receives orientation within 3 months.
- Unmet: New employee orientation takes longer than 3 months.

SUMMARY RATING

Circle an overall Summary Rating:

- Outstanding: 11 of the 13 Goals must have an “exceed” rating.
- Satisfactory: 11 of the 13 Goals must have a “met” or “exceed” rating.
- Unsatisfactory: (a) All goals under any single measure are less than “met;” OR
(b) At least 11 of the Goals are not given at least a “met” rating.